

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary) Sheet 1 of 1	ATTY. DOCKET NO. D5009-00028	APPLICATION NO. 09/916,358
	FIRST NAMED APPLICANT Loeper	EXAMINER n/a
	FILING DATE 07/27/2001	GROUP 2164

**RECEIVED****MAR 11 2002**

## U.S. PATENT DOCUMENTS

Technology Center 2100

EXAMINER INITIALS	Cite No.	DOCUMENT NUMBER	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
CRK	AA	6,085,175	Gugel et al.	07-04-2000	
CRK	AB	6,021,397	Jones et al.	02-01-2000	
CRK	AC	5,812,988	Sandretto	09-22-1998	
CRK	AD	6,253,192	Corlett et al.	06-26-2001	
CRK	AE	5,802,501	Graff	09-01-1998	
CRK	AF	5,774,881	Friend	06-30-1998	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS	Cite No.	Office	DOCUMENT NUMBER	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

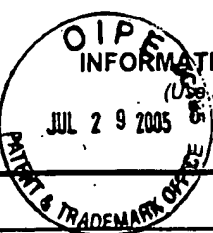
		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
CRK	AG	Ellen Jovin, "New Software, New Sophistication", Financial Planning, pp. 1-6, 1998	

EXAMINER SIGNATURE	Charles R. IRL	DATE CONSIDERED	10/18/05
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary) <div style="border: 1px solid black; border-radius: 50%; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center; margin: 10px auto;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg);">PATENT &amp; TRADEMARK OFFICE</div> <div style="text-align: center;">JUL 29 2005</div> </div>				ATTY DOCKET NO. <b>D5009-00028</b>		APPLICATION NO. <b>09/916.358</b>		
				APPLICANT(S) <b>Loeper</b>				
				FILING DATE <b>7/27/2001</b>		GROUP ART UNIT <b>2164</b>		
				<b>U.S. PATENT DOCUMENTS</b>				
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
<i>Chk</i>	A	5,291,398	3/1/1994	Hagan	364	408		
<i>Chk</i>	B	5,193,056	3/9/1993	Boes	364	408		
<i>Chk</i>	C	4,953,085	8/28/1990	Atkins	364	408		
<i>Chk</i>	D	6,078,904	6/20/2000	Rebane	705	036		
	E	6,064,984	5/16/2000	Ferguson et al.	705	036		
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
<i>Chk</i>	F	US2002/0138386 A1	9/26/2002	Maggioncalda et al.	705	036	7/12/2001	
<i>Chk</i>	G	US2001/0014873 A1	8/16/2001	Henderson et al.	705	035	1/27/1999	
<i>Chk</i>	H	US2002/0091604 A1	7/11/2002	Loeper	705	036	11/5/1999	
<i>Chk</i>	I	US2004/0133497	7/8/2004	Spear	705	036	12/18/2003	
<b>FOREIGN PATENT DOCUMENTS</b>								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
<i>Chk</i>	J	<del>EPI 283 488 A1</del>	<del>7/2001</del>	<del>CH</del>	<del>G06F 17/6</del>			<input checked="" type="checkbox"/>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
<i>Chk</i>		K	"Planners Must Tailor Mutual Fund Mix to Suit Client", Financial Services Week, August 1990, pp. 23, ISSN: 0895-8440					
EXAMINER <i>Charles R. J. Jr.</i>				DATE CONSIDERED <i>10/9/05</i>				

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				ATTY DOCKET NO. <b>D5009-00028</b>		APPLICATION NO. <b>09/916,358</b>		
				Loeper				
				FILING <b>7/27/2001</b>		GROUP ART <b>2164</b>		
<b>U.S. PATENT DOCUMENTS</b>								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
<i>OK</i>	L	6,058,376	5/2/2000	Crockett	705	035		
<i>OK</i>	M	6,012,043	1/4/2000	Albright et al.	705	036		
<i>OK</i>	N	5,987,433	11/16/1999	Crapo	705	036		
<i>OK</i>	O	5,615,109	3/25/1997	Eder	395	208		
	P	5,644,727	7/1/1997	Atkins	395	240		
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
<i>OK</i>	R	US2004/0172357 A1	9/2/2004	Padgett	705			
<b>FOREIGN PATENT DOCUMENTS</b>								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
EXAMINER <i>Cecilia R/L</i>				DATE CONSIDERED <i>10/19/05</i>				

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## INFORMATION DISCLOSURE CITATION

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ATTY DOCKET NO.

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APPLICATION NO.

09/916,358

Loeper

FILING

7/27/2001

GROUP ART

2164

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CRK	R	5,852,811	12/22/1998	Atkins	705	036	
CRK	S	5,933,815	8/3/1999	Golden	705	035	
CRK	T	5,864,828	1/26/1999	Atkins	705	036	
CRK	U	5,911,136	6/8/1999	Atkins	705	036	
CRK	V	5,911,135	6/8/1999	Atkins	705	036	

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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

CRK		W	LARRY BIERWIRTH, "Investing in retirement: Using the Past to Model the Future", Journal of Financial Planning, v7n1, January 1994, 6 pages

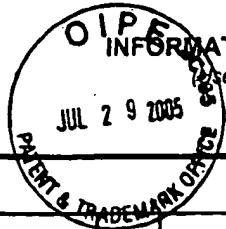
EXAMINER

Charles R/L

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CAK	AA	5,884,285	3/16/1999	Atkins	705	036	
CRK	BB	5,884,283	3/16/1999	Manos	705	030	
CAK	CC	5,875,435	2/23/1999	Brown	705	030	
CAK	DD	5,918,217	6/29/1999	Maggioncalda et al.	705	036	
CAK	EE	5,819,263	10/6/1998	Bromley et al.	707	003	

## U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


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ATTY DOCKET NO.

D5009-00028

APPLICATION NO:

09/916,358

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FILING

7/27/2001

GROUP ART

2164

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CRK	FF	5,878,405	3/2/1999	Grant et al.	705	039	
CRK	GG	5,875,437	2/23/1999	Atkins	705	040	
CRK	HH	6,021,397	2/1/2000	Jones et al.	705	036	
CRK	II	6,340,542	1/22/2002	Inoue et al.	430	005	
CRK	JJ	5,903,879	5/11/1999	Mitchell	705	038	

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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

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							YES	NO

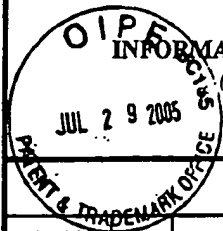
## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


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## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

D5009-00028

Application Number

09/916,358

Applicant(s)

Loeper

Filing Date

7/27/2001

Group Art Unit

2164

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CKK	KK	6,012,044	1/4/2000	Maggioncalda et al.	705	036	
CKK	LL	6,564,191	5/13/2003	Reddy	705	036	
CKK	MM	5,946,667	8/31/1999	Tull, Jr. et al.	705	036	
CKK	NN	6,298,334	10/2/2001	Burfield et al.	705	036	
CKK	OO	6,026,381	2/15/2000	Barton, III et al.	705	035	

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*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

## OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

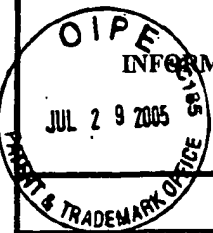

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Charles J. [Signature]

DATE CONSIDERED

10/19/05

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 <p><b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)</p>				Docket Number (Optional) <b>D5009-00028</b>		Application Number <b>09/916,358</b>		
				Applicant(s) <b>Loeper</b>				
				Filing Date <b>7/27/2001</b>		Group Art Unit <b>2164</b>		
<b>U.S. PATENT DOCUMENTS</b>								
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CNT	PP	5,774,881	6/30/1998	Friend et al.	705	036		
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>								
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
<b>FOREIGN PATENT DOCUMENTS</b>								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
<b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, Etc.)								
EXAMINER				DATE CONSIDERED				
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